



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/805,489	03/13/2001	Wayne V. Sorin	21501-728

## FORMALITIES LETTER

021971  
WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050



\*OC000000006080871\*

Date Mailed: 05/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

**FILED UNDER 37 CFR 1.53(b)**

**Filing Date Granted**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1206.
  - **\$1206** for **67** total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2046.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- **Substitute drawings in compliance with 37 CFR 1.84 because:**
  - **drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);**

SECRET

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710.00	CH
1206.00	CH
130.00	CH

4013  
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4016  
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*A copy of this notice MUST be returned with the reply.*

*Sabir P. M.*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Practitioner's Pocket No. 21501-728

PATENT

JUN 27 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sorin

Serial No.: 09/805,489

Filed: 03/13/2001

For: Optical Apparatus with Faraday Rotator, Static Gain Flattening Filter and Variable Optical Attenuator

Group 2874

Examiner: Not assigned

Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF NEW DRAWING(S) TO CORRECT INFORMALITIES  
WITHIN TWO MONTH PERIOD OF RESPONSE SET  
IN NOTICE TO FILE MISSING PARTS OF NON-PROVISIONAL APPLICATION**

**SUBMISSION OF DRAWING(S)**

1. To correct the informalities in the drawings as noted in the Notice to File Missing Parts of NonProvisional Application dated 05/16/2001, applicants submit herewith new drawing(s) for this application.

Number of sheets of drawings submitted: 3

2. The two month period of response set in the Notice expires on 07/16/2001. This submission is on or before this expiry date.

Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Paul Davis, Reg. No. 29,294

650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300  
Customer No. 021971

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below and addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below.

Express Mail Label **EL 713 753 414 US**

Typed or printed name

LEILANI ACOSTA

Signature

*Leilani Acosta*

Date

6/26/01

**RECEIVED**Novera optics  
21501-728  
PD

MAY 30 2001

UNITED STATES PATENT AND TRADEMARK OFFICE

WILSON SONSINI,  
GOODRICH & ROSATICOMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/805,489	03/13/2001	2874	0.00	21501-728	3	87	3

021971

WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

O I P E

JUN 27 2001

CONFIRMATION NO. 2385

FILING RECEIPT



\*OC000000006080870\*

**DOCKETED**

Date Mailed: 05/16/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Wayne V. Sorin, [Residence Not Provided] -- MOUNTAIN VIEW, CA --  
Byoung Yoon Kim, [Residence Not Provided] -- MOUNTAIN VIEW, CA --

Domestic Priority data as claimed by applicant -- THIS APPLN IS A CIP OF 09/801,566 03/07/2001  
WHICH IS A CIP OF 09/745,971 01/19/2001; WHICH IS A CIP OF 09/729,661 12/04/2000; WHICH IS  
A CIP OF 09/666,763 09/21/2000; WHICH IS A CIP OF AND CLAIMS BENEFIT OF 60/206,767  
Foreign Applications 05/23/2000; APPLN 09/666,763 ALSO BEING A CIP OF 09/571,092 05/15/2000;  
WHICH IS A CIP OF 09/425,099 09/23/1999; WHICH IS A CIP OF 09/022,413

If Required, Foreign Filing License Granted 05/15/2001 02/12/1998; WHICH CLAIMS PRIORITY TO  
KR97-24796 06/06/1997

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Optical apparatus with faraday rotator, static gain flattening filter and variable optical attenuator

**Preliminary Class**

385

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sorin

Serial No.: 09/805,489

Filed: 03/13/2001

For: Optical Apparatus with Faraday Rotator, Static Gain Flattening Filter and Variable Optical Attenuator

Group No.: 2874

Examiner: Not assigned

Commissioner for Patents

Washington, D.C. 20231

## COMPLETION OF FILING REQUIREMENTS—NONPROVISIONAL APPLICATION

This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed 05/16/2001. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

## DECLARATION OR OATH

II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

## POWER OF ATTORNEY

III. Enclosed is an original Power of Attorney by Assignee to Exclusion of Inventor.

## SUBSTITUTE (FORMAL) DRAWINGS

IV. Enclosed are Substitute Drawings in compliance with 37 CFR 1.84 which are also formal drawings.

## V. COMPLETION FEES

1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))	\$710
2. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c))	\$1,208
3. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))	\$130
4. Assignment (See "ASSIGNMENT COVER SHEET".)	\$40
Total completion fees	\$2,086

## REQUEST FOR CORRECTED FILING RECEIPT

VI. Attached is a copy of the official filing receipt for which issuance of a corrected filing receipt is respectfully requested. There are errors with respect to the following, which are incorrectly entered.

Error in	Correct data
1. Applicant name and/or addresses	- Wayne V. Sorin, Mountain View, CA; Byoung Yoon Kim, Mountain View, CA
2. Priority Claim	- This application is a CIP of 09/801,566 03/07/2001 which is a CIP of 09/765,971 09/19/2001 which is a CIP of 09/729,661 12/04/2000 which is a CIP of 09/666,763 09/21/2000 which is a CIP of and claims benefit of 60/206,767 05/23/2000 said 09/666,763 also being a CIP of 09/571,092 05/15/2000 which is a CIP of 09/425,099 09/23/1999 which is a CIP of 09/022,413 02/12/1998 which claims priority of KR 97-24796 06/06/1997

At least one of the above corrections is due to applicant's error and the fee under 37 C.F.R. 1.19(h), of \$25.00 applies.

## TOTAL FEE DUE

VII. The total fee due is: Completion fees \$2,086

Corrected Filing Receipt Fees \$25

TOTAL FEE DUE \$2,111

## PAYMENT OF FEES

VIII. Charge Account No. 23-2415 (21501-728) in the amount of \$2,111.

Please charge Account No. 23-2415 (21501-728) for any fees that may be due by this paper.

Paul Davis, Reg. No. 29,294

Wilson Sonsini Goodrich & Rosati  
650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300  
Customer No. 021971

## Certificate of Express Mailing

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail (Label No.

EL 713 753 414 US ) in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on 6/26/01

Heidi A. Costa